

ATTORNEY'S DOCKET NO: C0 Flo4/76087

TECHNOLOGY CENTER 280

#### IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant:

Kevin J. Dowling, Ian Lane Davis, George G. Mueller

and Ihor A. Lys

Serial No:

10,045,604

Confirm No.:

3464

Filed:

October 23, 2001

For:

SYSTEMS AND METHODS FOR DIGITAL ENTERTAINMENT

Examiner:

Not Yet Assigned

Art Unit:

2821

#### **CERTIFICATE OF MAILING UNDER 37 C.F.R. §1.8(a)**

The undersigned hereby certifies that this document is being placed in the United States mail with first-class postage attached, addressed to Commissioner for Patents, Washington, D.C. 20231, on October 10, 2002.

Commissioner for Patents Washington, D.C. 20231

#### TRANSMITTAL LETTER

Sir:~

Transmitted herewith for filing are the following documents:

[X]STATEMENT FILED PURSUANT TO THE DUTY OF DISCLOSURE UNDER 37 CFR §§1.56, 1.97 AND 1.98 PTO FORM 1449

[X] **RETURN POST CARD** 

If the enclosed papers are considered incomplete, the Mail Room and/or the Application Branch are respectfully requested to contact the undersigned collect at (617)720-3500, Boston, Massachusetts.

No check is enclosed. If a fee is needed, it may be charged to the account of the undersigned, Deposit Account No. 23/2825. A duplicate of this sheet is enclosed.

Respectfully submitted,

eph Teja, Jr., Reg. No. 45,157 Wolf, Greenfield & Sacks, P.C.

600 Atlantic Avenue

Boston, MA 02210

Telephone (617) 720-3500 Attorneys for Applicants

Docket No. C01104/70087 Dated: October \_\_\_\_\_\_\_, 2002



# ATTORNEY'S DOCKET NO: C01104/70087

RJP/JT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant:

Kevin J. Dowling Ian Lane Davis, George G. Mueller

and Ihor A. Lys

Serial No:

10,045,604

Confirm No.:

3464

Filed:

October 23, 2001

For:

SYSTEMS AND METHODS FOR DIGITAL ENTERTAINMENT

Examiner:

Not Yet Assigned

Art Unit:

2821

# **CERTIFICATE OF MAILING UNDER 37 C.F.R. §1.8(a)**

The undersigned hereby certifies that this document is being placed in the United States mail with first-class postage attached, addressed to Commissioner for Patents, Washington, D.C. 20231, on October 10, 2002.

Janine Michalski

Commissioner for Patents Washington, D.C. 20231

Sir:

# STATEMENT FILED PURSUANT TO THE DUTY OF DISCLOSURE UNDER 37 CFR §§1.56, 1.97 AND 1.98

Pursuant to the duty of disclosure under 37 C.F.R. §§1.56, 1.97 and 1.98, the Applicant requests consideration of this Information Disclosure Statement.

# PART I: Compliance with 37 C.F.R. §1.97

This Information Disclosure Statement has been filed before the mailing date of a first Office Action on the merits in the above-identified case. No fee or certification is required.

#### PART II: Information Cited

The Applicant hereby makes of record in the above-identified application the information listed on the attached form PTO-1449 (modified). The order of presentation of the references should not be construed as an indication of the importance of the references.

## PART III: Remarks

Documents cited on the attached form PTO-1449 (modified) are enclosed unless otherwise indicated on the attached form PTO-1449 (modified). It is respectfully requested that:

- 1. The Examiner consider completely the cited information, along with any other information, in reaching a determination concerning the patentability of the present claims;
- 2. The enclosed form PTO-1449 be signed by the Examiner to evidence that the cited information has been fully considered by the Patent and Trademark Office during the examination of this application;
- 3. The citations for the information be printed on any patent which issues from this application.

By submitting this Information Disclosure Statement, the Applicant makes no representation that a search has been performed, of the extent of any search performed, or that more relevant information does not exist.

By submitting this Information Disclosure Statement, the Applicant makes no representation that the information cited in the Statement is, or is considered to be, material to patentability as defined in 37 C.F.R. §1.56(b).

By submitting this Information Disclosure Statement, the Applicant makes no representation that the information cited in the Statement is, or is considered to be, in fact, prior art as defined by 35 U.S.C. §102.

Notwithstanding any statements by the Applicant, the Examiner is urged to form his own conclusion regarding the relevance of the cited information.

An early and favorable action is hereby requested.

Respectfully submitted,

By:

Joseph Teja, Jr., Reg. No. 45,157 Wolf, Greenfield & Sacks, P.C.

600 Atlantic Avenue

Boston, MA 02210

Telephone (617) 720-3500

Attorneys for Applicants

Docket No. C01104/70087 Dated: October \_\_\_\_\_\_\_, 2002

O STATEMENT DE LOSURE STATEMENT BY APPLICANT

OCT 1 5 2002 \$

• • • • •

7 of

APPLICATION NO.:

10/045,60

ATTY. DOCKET NO.: C01104/70087

FILING DATE:

October 23, 2001

APPLICANT:

Kevin J. Dowling, et al.

GROUP ART UNIT:

2821

EXAMINER: Not Yet Assigned

#### **U.S. PATENT DOCUMENTS**

Examiner's Initials#	Cite No.	U.S. Patent Document		Name of Patentee or Applicant of Cited	Date of Publication or of issue of Cited Document
		Number	Kind Code	Document	MM-DD-YYYY
MA		* US 2001/0033488	A1	Chliwnyj, et al.	10/25/2001
MA		* Re. 36,030		Nadeau	01/05/1999
MA		* 2,909,097		A.E. Alden, et al.	10/20/1959
		* 3,318,185		Kott	05/09/1967
		* 3,561,719		Grindle	02/1971
		* 3,586,936		McLeroy	06/22/1971
		* 3,601,621		Ritchie	08/24/1971
		* 3,643,088		Osteen, et al.	02/1972
		* 3,746,918		Drucker, et al.	07/17/1973
	-	* 3,818,216		Larraburu	06/18/1974
		* 3,832,503		Crane	08/27/1974
		* 3,858,086		Anderson, et al.	12/31/1974
	·	* 3,909,670		Wakamatsu, et al.	09/30/1975
		* 3,924,120		Cox, III	12/02/1975
		* 3,958,885		Stockinger, et al.	05/25/1976
		* 3,974,637		Bergey, et al.	08/17/1976
		* 4,001,571		Martin	01/04/1977
		* 4,054,814		Fegley, et al.	10/18/1977
		* 4,082,395		Donato, et al.	04/04/1978
		* 4,096,349		Donato	06/20/1978
		* 4,241,295		Williams, Jr.	12/23/1980
TAUT.		* 4,272,689		Crosby, et al.	06/09/1981
		* 4,273,999		Pierpoint	06/16/1981
		* 4,298,869		Okuno	11/03/1981
		* 4,329,625		Nishizawa, et al.	05/11/1982
		* 4,367,464		Kurahashi, et al.	12/04/1983
		* 4,388,567		Yamazaki, et al.	06/14/1983
		* 4,388,589		Molldrem, Jr.	06/14/1983
		* 4,392,187		Bornhorst	07/05/1983
		* 4,420,711		Takahashi, et al.	12/13/1983
		* 4,500,796		Quin	02/19/1985
		* 4,622,881		Rand	11/18/1986
		* 4,625,152		Nakai	11/25/1986
		* 4,635,052		Aoike, et al.	01/06/1987
7		* 4,647,217		Havel	03/03/1987

APPLICATION NO.:

10/045,604

2821

ATTY. DOCKET NO.: C01104/70087

FILING DATE:

October 23, 2001

APPLICANT:

Kevin J. Dowling, et al.

OCT 1 5 2002

of

ENT BY APPLICANT

7

O INTERMATION DISCLOSURE

GROUP ART UNIT:

EXAMINER: Not Yet Assigned

PADRAM			· · · · · · · · · · · · · · · · · · ·
MA	* 4,656,398	Michael, et al.	04/07/1987
	* 4,668,895	Schneiter	05/26/1987
	* 4,682,079	Sanders, et al.	07/21/1987
	* 4,686,425	Havel	08/11/1987
	* 4,687,340	Havel	08/18/1987
	* 4,688,154	Nilssen	08/18/1987
	* 4,688,869	Kelly	08/25/1987
	* 4,695,769	Schweickardt	09/22/1987
	* 4,701,669	Head, et al.	10/20/1987
	* 4,705,406	Havel	11/10/1987
	* 4,707,141	Havel	11/17/1987
	* 4,727,289	Uchida	02/23/1988
	* 4,740,882	Miller	04/26/1988
	* 4,753,148	Johnson	06/28/1988
	* 4,771,274	Havel	09/13/1988
	* 4,780,621	Bartleucci, et al.	10/25/1988
	* 4,818,072	Mohebban	04/04/1989
	* 4,837,565	White	06/06/1989
	* 4,843,627	Stebbins	06/27/1989
	* 4,845,481	Havel	07/04/1989
	* 4,845,745	Havel	07/04/1989
	* 4,863,223	Weissenbach, et al.	09/05/1989
	* 4,874,320	Freed, et al.	10/17/1989
	* 4,887,074	Simon, et al.	12/12/1989
	* 4,922,154	Cacoub	05/01/1990
	* 4,934,852	Havel	06/19/1990
	* 4,962,687	Belliveau, et al.	10/16/1990
	* 4,965,561	Havel	10/23/1990
	* 4,973,835	Kurosu, et al.	11/27/1990
	* 4,979,081	Leach, et al.	12/18/1990
	* 4,980,806	Taylor, et al.	12/25/1990
	* 4,992,704	Stinson	02/12/1991
	* 5,003,227	Nilssen	03/26/1991
	* 5,008,595	Kazar	04/16/1991
	* 5,010,459	Taylor, et al.	04/23/1991
	* 5,027,262	Freed	06/25/1991
	* 5,034,807	Von Kohorn	07/23/1991
	* 5,072,216	Grange	12/10/1991

O STATEMENT BY APPLICANT

of

7

OCT 1 5 2002 &

APPLICATION NO.:

10/045,604

ATTY. DOCKET NO.: C01104/70087

FILING DATE:

October 23, 2001

APPLICANT:

Kevin J. Dowling, et al.

GROUP ART UNIT:

2821

EXAMINER: Not Yet Assigned

VA TRADE	* 5,078,039	Tulk, et al.	01/07/1992
1	* 5,083,063	Brooks	01/21/1992
1 -	* 5,126,634	Johnson	06/30/1992
	*.5,128,595	Hara	07/07/1992
1	* 5,134,387	Smith, et al.	07/28/1992
<del>\                                    </del>	* 5,142,199	Elwell	08/25/1992
	* 5,154,641	McLaughlin	10/13/1992
	* 5,164,715	Kashiwabara, et al.	11/17/1992
	* 5,184,114	Brown	02/02/1993
	* 5,194,854	Havel	03/16/1993
	* 5,209,560	Taylor, et al.	05/11/1993
	* 5,225,765	Callahan, et al.	07/06/1993
	* 5,226,723	Chen	07/13/1993
	* 5,254,910	Yang	10/19/1993
	* 5,256,948	Boldin, et al.	10/26/1993
	* 5,282,121	Bornhorst, et al.	01/25/1994
	* 5,294,865	Haraden	03/15/1994
	* 5,307,295	Taylor, et al.	04/26/1994
	* 5,329,431	Taylor, et al.	07/12/1994
	* 5,350,977	Hamamoto, et al.	09/27/1994
	* 5,357,170	Luchaco, et al.	10/18/1994
	* 5,371,618	Tai, et al.	12/06/1994
<del>-   -   -</del>	* 5,374,876	Horibata, et al.	12/20/1994
<del>-      </del>	* 5,388,357	Malita	02/14/1995
	* 5,402,702	Hata	04/04/1995
	* 5,404,282	Klinke, et al.	04/04/1995
	<b>*</b> 5,406,176	Sugden	04/11/1995
	* 5,410,328	Yoksza, et al.	04/25/1995
<del>-   -  </del>	* 5,412,284	Moore, et al.	05/02/1995
1	* 5,412,552	Fernandes	05/02/1995
	* 5,420,482	Phares	05/30/1995
	* 5,421,059	Leffers, Jr.	06/06/1995
	* 5,432,408	Matsuda, et al.	07/11/1995
11	* 5,436,535	Yang	07/25/1995
11	* 5,461,188	Drago, et al.	10/24/1995
	* 5,463,280	Johnson Johnson	10/31/1995
<del></del>	<b>*</b> 5,465,144	Parker, et al.	11/07/1995
	* 5,489,827	Xia	02/06/1996

O INCORMATION DISCLOSURE STATEMENT BY APPLICANT

OCT 1 5 2002

4 of 7

APPLICATION NO.:

10/045,604

ATTY. DOCKET NO.: C01104/70087

FILING DATE:

. . October 23, 2001

APPLICANT:

Kevin J. Dowling, et al.

GROUP ART UNIT:

2821

EXAMINER: Not Yet Assigned

1A	* 5,491,402	Small	02/13/1996
. j	* 5,504,395	Johnson, et al.	04/02/1996
	* 5,545,950	Cho	08/13/1996
	* 5,561,346	Byrne	10/01/1996
	* 5,575,459	Anderson	11/19/1996
	* 5,575,554	Guritz	11/19/1996
	* 5,592,051	Korkala	01/07/1997
	* 5,640,061	Bornhorst, et al.	06/17/1997
	* 5,642,129	Zavracky, et al.	06/24/1997
	* 5,673,059	Zavracky, et al.	09/30/1997
	* 5,701,058	Roth	12/23/1997
	* 5,721,471	Begemann, et al.	02/24/1998
	* 5,734,590	Tebbe	03/31/1998
	* 5,751,118	Mortimer	05/12/1998
	* 5,752,766	Bailey, et al.	05/19/1998
	* 5,769,527	Taylor, et al.	06/23/1998
	* 5,803,579	Turnbull, et al.	09/08/1998
	* 5,808,689	Small	09/15/1998
	* 5,821,695	Vilanilam, et al.	10/13/1998
	* 5,848,837	Gustafson	12/15/1998
	*5,850,126	Kanbar	12/15/1998
	* 5,851,063	Doughty, et al.	12/22/1998
	* 5,852,658	Knight, et al.	12/22/1998
	* 5,859,508	Ge, et al.	01/12/1999
	* 5,896,010	Mikolajczak, et al.	04/20/1999
	* 5,912,653	Fitch	06/15/1999
	* 5,924,784	Chliwnyj, et al.	07/20/1999
	* 5,946,209	Eckel, et al.	08/31/1999
	* 5,952,680	Strite	09/14/1999
	* 5,959,547	Tubel, et al.	09/28/1999
	* 5,963,185	Havel	10/05/1999
	* 5,974,553	Gandar	10/26/1999
	* 6,008,783	Kitagawa, et al.	12/28/1999
	* 6,016,038	Mueller, et al.	01/18/2000
	* 6,018,237	Havel	01/25/2000
	* 6,025,550	Kato	02/15/2000
	* 6,031,343	Recknagel, et al.	02/29/2000
J	* 6,068,383	Robertson, et al.	05/30/2000

O INFORMATION DISCLOSURE STATEMENT BY APPLICANT OCT 1 5 2002 3

of

7

FILING DATE:

APPLICATION NO.:

10/045,604

2821

ATTY. DOCKET NO.: C01104/70087

October 23, 2001

APPLICANT:

Kevin J. Dowling, et al.

GROUP ART UNIT:

EXAMINER: Not Yet Assigned

* 6,072,280		Allen	06/06/2000
		Lebens, et al.	08/01/2000
* 6,097,352		Zavracky, et al.	08/01/2000
* 6,132,072		Turnbull, et al.	10/17/2000
* 6,135,604		Lin	10/24/2000
* 6,150,774		Mueller, et al.	11/21/2000
* 6,166,496		Lys, et al.	12/26/2000
* 6,183,086		Neubert	02/06/2001
* 6,184,628	B1	Ruthenberg	02/06/2001
* 6,196,471		Ruthenberg	03/06/2001
* 6,211,626	B1	Lys, et al.	04/03/2001
* 6,215,409	B1	Blach	04/10/2001
* 6,250,774	B1	Begemann, et al.	06/26/2001
* 6,292,901	B1	Lys, et al.	09/18/2001
* 6,340,868	B1	Lys, et al.	01/22/2002
* 6,459,919	B1	Lys, et al.	10/01/2002
	* 6,132,072 * 6,135,604 * 6,150,774 * 6,166,496 * 6,183,086 * 6,184,628 * 6,196,471 * 6,211,626 * 6,215,409 * 6,250,774 * 6,292,901 * 6,340,868	* 6,095,661 * 6,097,352 * 6,132,072 * 6,135,604 * 6,150,774 * 6,166,496 * 6,183,086 * 6,184,628 B1 * 6,196,471 * 6,211,626 B1 * 6,215,409 B1 * 6,250,774 B1 * 6,292,901 B1 * 6,340,868 B1	* 6,095,661 Lebens, et al.   * 6,097,352 Zavracky, et al.   * 6,132,072 Turnbull, et al.   * 6,135,604 Lin   * 6,150,774 Mueller, et al.   * 6,166,496 Lys, et al.   * 6,183,086 Neubert   * 6,184,628 B1 Ruthenberg   * 6,196,471 Ruthenberg   * 6,211,626 B1 Lys, et al.   * 6,215,409 B1 Blach   * 6,250,774 B1 Begemann, et al.   * 6,292,901 B1 Lys, et al.   * 6,340,868 B1 Lys, et al.

FOREIGN PATENT DOCUMENTS

Examiner's Initials#	Cite No.	Cite Foreign Patent Docume			Date of Publication of	Translation	
		Office/ Country	Number	Kind Code	Document (not necessary)	Cited Document MM-DD-YYYY	(Y/N)
MA			* AU 6 267 9			12/30/1996	
1			* CA 2 178 432			12/08/1996	
			* EP 0495305	A2		07/22/1992	
			* EP 0534710	B1		01/17/1996	
			* EP 0752632	A2		01/08/1997	
			* EP 0752632	A3		08/20/1997	
			* EP 0823812	A2		02/11/1998	
			* EP 0935234	A1		08/11/1999	_
			* EP 0942631	A2		09/15/1999	-
T.			* EP 1020352	A2		07/19/2000	

FORM PTO-1449/A and B (Modified)	APPLICATION NO.:	10/045,60-	ATTY. DOCKET NO.: C01104/70087	
O INFORMATION DISCLOSURE	FILING DATE:	October 23, 2001		
STATEMENT DI ATTEICANT	APPLICANT:	Kevin J. Dowling,	et al.	
OCT 1 5 2002 25 6 of 7	GROUP ART UNIT:	2821	EXAMINER: Not Yet Assigned	
(2) (2) (1) (1) (1) (1) (1) (1) (1) (1) (1) (1			l .	

MA	* EP 1113215 A2	07/04/2001
	* FR 88 17359	12/21/1998
	* GB 2045098 A	10/29/1980
	* GB 2135536 A	08/30/1984
	* GB 2176042 A	12/10/1986
	* JP 06043830	02/18/1994
	* JP 9 320766	12/12/1997
	* JP 7-39120	07/14/1995
· \ \	* JP 8-106264	04/23/1996
	* WO 89/05086	06/01/1989
	* WO 94/18809	08/18/1994
	* WO 95/13498	05/18/1995
1	* WO 96/41098	12/19/1996

# OTHER ART – NON PATENT LITERATURE DOCUMENTS

Examiner's Initials#	Cite No	Include name of the author (in CAPITAL LETTERS) title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, relevant page(s), volume-issue number(s), publisher, city and/or country where published.	
MA		* "LM117/LM317A/LM317 3-Terminal Adjustable Regulator", National Semiconductor Corporation, May 1997, pp. 1-20	
		* "DS96177 RS-485 / RS-422 Differential Bus Repeater", National Semiconductor Corporation, February 1996, pp. 1-8	
		* "DS2003 / DA9667 / DS2004 High Current / Voltage Darlington Drivers", National Semiconductor Corporation, December 1995, pp. 1-8	
		* "LM140A / LM140 / LM340A / LM7800C Series 3 – Terminal Positive Regulators", National Semiconductor Corporation, January 1995, pp. 1-14	
,		* High End Systems, Inc., Trackspot User Manual, August 1997, Excerpts (Cover, Title page, pp. ii through iii and 2-13 through 2-14)	
		* Artistic License, AL4000 DMX512 Processors, Revision 3.4, June 2000, Excerpts (Cover, pp. 7,92 through 102)	
		* Artistic License, Miscellaneous Drawings (3 sheets) January 12, 1995	
1		* Artistic License, Miscellaneous Documents (2 sheets February 1995 and April 1996)	

FORM PTO-1449/A and B (Modified)	APPLICATION NO.:	10/045,604	ATTY. DOCKET NO.: C01104/70087
INFORMATION DISCLOSURE	FILING DATE:	October 23, 200	01
O STATEMENT BY APPLICANT	APPLICANT:	Kevin J. Dowlin	ng, et al.
OCT 1 5 2002 2 of 7	GROUP ART UNIT:	2821	EXAMINER: Not Yet Assigned
Sheet of 7			
* Newnes's Dictionary of Ele pp. 278-279	ctronics, Fourth Edition, S.	.W. Amos, et al.	, Preface to First Edition,
*"http://www.luminus.cx/pro	ects/chaser", (November 1	3, 2000), pp. 1-	16

EXAMINER	DATE CONSIDERED

#EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

\* a copy of this reference is not provided as it was previously cited by or submitted to the office in prior applications:

Serial No. 09/669,121, filed September 25, 2000;	Serial No. 09/215,624, filed December 17, 1998;
Serial No. 09/425,770, filed October 22, 1999;	Serial No. 09/333,739, filed June 15, 1999;
Serial No. 08/920,156, filed August 26, 1997;	Serial No. 09/742,017, filed December 20, 2000;
Serial No. 09/213,540, filed December 17, 1998;	Serial No. 09/213,659, filed December 17, 1998;
Serial No. 09/213,581, filed December 17, 1998;	Serial No. 09/213,189, filed December 17, 1998;
Serial No. 09/213,548, filed December 17, 1998;	Serial No. 09/626,905, filed July 27, 2000;
Serial No. 09/815,418, filed March 22, 2001;	Serial No. 09/213,537, filed December 17, 1998;
Serial No. 09/213,607, filed December 17, 1998;	

which are relied upon for an earlier filing date under 35 U.S.C. 120 (continuation, continuation-in-part, and divisional applications).

[NOTE - Must provide a copy of any patent, publication, other information listed, even if it was previously submitted to, or cited by, the U.S. Patent Office in an earlier application, unless the earlier application is identified by the IDS and is relied upon for an earlier filing date under 35 U.S.C. §120, and the copy was provided in the earlier application.]